11/20/01 C840 U.S. PTO

UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.: 2001_1700A

First Named Inventor : Teruhiro SHIONO et al.

Title: OPTICAL INFORMATION RECORDING AND REPRODUCING APPARATUS

Express Mail Label No.:

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, D.C. 20231

1. [X] Fee Transmittal Form
(Submit an original, and a duplicate for fee processing)

2. [] Small Entity Status is hereby asserted.

3. [X] Specification *[Total Pages: 32]*
(preferred arrangement set forth below)
- Descriptive title of the Invention
- Cross References to Related Applications
- Statement Regarding Fed sponsored R & D
- Reference to Sequence Listing, a table, or a computer program listing appendix.
- Background of the Invention
- Brief Summary of the Invention
- Brief Description of the Drawings *(if filed)*
- Detailed Description
- Claim(s)
- Abstract of the Disclosure

4. [X] Drawing(s) *(35 USC 113)* *[Total Sheets: 8]*

5. [X] Oath or Declaration *[Total Pages : 3]*
a.1. [] Newly executed (original or copy)
a.2. [X] Unexecuted
b. [] Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 18 completed)
i. [] DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

6. [] Application Data Sheet (see 37 CFR 1.76)

7. [] CD-ROM or CD-R in duplicate, large table or computer program *(Appendix)*

8. [] Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
a. [] Computer Readable Form
b. Specification Sequence Listing on:
i. [] CD-ROM or CD-R (2 copies); or
ii. [] Paper
c. [] Statement verifying identity of above copies

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ACCOMPANYING APPLICATION PARTS

9. [] Assignment Papers (cover sheet & document(s))
10. [] 37 CFR 3.73(b) Statement (*when there is an assignee*)
[] Power of Attorney
11. [] English Translation Document *(if applicable)*
12. [X] Information Disclosure Statement (IDS)/PTO-1449
[X] Copies of IDS Citations
13. [] Preliminary Amendment
14. [X] Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
15. [X] Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. [] Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. [X] Other **1. COVER LETTER FOR APPLICATION FILED WITHOUT EXECUTED DECLARATION**

2. CLAIM OF PRIORITY UNDER 35 USC § 119

18. If a CONTINUING APPLICATION, *check appropriate box, and supply the requisite information below, and in a preliminary amendment, or in an Application Data Sheet :*
[] Continuation [] Divisional [] Continuation-in-part (CIP) of prior application No.

Prior Application Information: Examiner Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference therein. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

000513
PATENT TRADEMARK OFFICE

By: Michael S. Huppert
Michael S. Huppert
Registration No. 40,268

WENDEROTH, LIND & PONACK, L.L.P.
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November 20, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :

Teruhiro SHIONO et al. :

Serial No. NEW : **Attn: APPLICATION BRANCH**

Filed November 20, 2001 : **Attorney Docket No. 2001_1700A**

OPTICAL INFORMATION RECORDING
AND REPRODUCING APPARATUS

PATENT OFFICE FEE TRANSMITTAL FORM

Assistant Commissioner for Patents,
Washington, DC 20231

Sir:

Attached hereto is a check in the amount of $902.00 to cover Patent Office fees relating to filing the following attached papers:

New application	$740.00
Assignment for Recordal	$
Additional Claims Fee:	
Excess of Twenty	$162.00
Independent	$
Multiple Dependent Fee	$

A duplicate copy of this paper is being submitted for use in the Accounting Division, Office of Finance.

The Commissioner is authorized to charge any deficiency or to credit any overpayment associated with this communication to Deposit Account No. 23-0975, with the EXCEPTION of deficiencies in fees for multiple dependent claims in new applications.

Respectfully submitted,

Teruhiro SHIONO et al.

By _____
Michael S. Huppert
Registration No. 40,268
Attorney for Applicants

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November 20, 2001

[Check No. 47586]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of	:	
Teruhiro SHIONO et al.	:	Attn: APPLICATION BRANCH
Serial No. NEW	:	Docket No. 2001_1700A
Filed November 20, 2001	:	THE COMMISSIONER IS AUTHORIZED TO CHARGE ANY DEFICIENCY IN THE FEE FOR THIS PAPER TO DEPOSIT ACCOUNT NO. 23-0975.
OPTICAL INFORMATION RECORDING AND REPRODUCING APPARATUS		

COVER LETTER FOR APPLICATION FILED WITHOUT EXECUTED DECLARATION

Assistant Commissioner for Patents,

Washington, DC 20231

Sir:

The above-identified application has been submitted without an executed oath or declaration pursuant to 37 CFR 1.41(c).

It is respectfully requested that this application be assigned a serial number and awarded a filing date pursuant to 37 CFR 1.53.

A duly executed oath or declaration pursuant to 37 CFR 1.63 will be submitted after notification by the U.S. Patent and Trademark Office pursuant to 37 CFR 1.53(f).

A non-executed copy of the Declaration and Power of Attorney, containing the inventorship information, is attached. It is respectfully requested that all communications be directed to the firm indicated on the attached Declaration and Power of Attorney, namely:

WENDEROTH, LIND & PONACK, L.L.P.
2033 K Street, N.W., Suite 800
Washington, D.C. 20006-1021

The required U.S. Patent and Trademark Office Filing Fee is submitted herewith.

Respectfully submitted,

Teruhiro SHIONO et al.

By _____
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November 20, 2001

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